



DISTRICT 4 SMALL BUSINESS PROGRAM
ANNUAL REPORT
JANUARY – DECEMBER 2014
(FINAL)

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EXECUTIVE SUMMARY

The District 4 Small Business Program (SBP) team continues to strive for excellence by raising awareness in the small business community about Caltrans programs and by enhancing partnerships with small businesses, the Small Business Council, Caltrans Divisions and local entities. This report highlights SBP activities of calendar year 2014 in the following areas: Small Business Community Outreach; Hosted Events; Project Specific Outreach; Advocacy; and SBE, DVBE and DBE Achievement.

Community outreach remains the highest priority for the Small Business Program. The team has continued existing partnerships and developed new community relationships, such as with the Turner Group Contractors Resource Center (CRC) and Nor-Cal Financial Development Corporation (Nor-Cal FDC). CRC hosted its first Subcontractors Networking Outreach in June, providing small business vendors an opportunity to receive valuable feedback from prime contractors (primes) and other industry professionals. In 2014, the SBP hosted two Procurement Fairs, another way to provide outreach. Both fairs were successful and generated over \$1.26M in purchases, most of which were from District 4 local small business vendors.

Every other month, the SBP team hosts the D4 Small Business Council (SBC) meetings. The Council's advice and expertise have been, as always, a valuable resource for promoting, addressing and supporting the interests of Small Business Enterprises (SBEs), Disabled Veteran Business Enterprises (DVBEs), and Disadvantaged Business Enterprises (DBEs). In March, District 4 hosted the California High Speed Rail (HSR) Authority's Public Comment Forum. This event was an open platform for the sharing of small business and public concerns related to the \$985M project.

Project specific outreach was very successful in 2014. The SBP facilitated 4 Mandatory Pre-Bid (MPB) Outreach events for the District's construction projects, having a total approximate value of \$40.3M. In addition, the SBP hosted two small business outreach events for 73 projects, valued at approximately \$513M. Presentations were made by Turner Group Contractors Resource Center, Meriwether and Williams Insurance Services, the Alameda Small Business Development Center (ASBDC), and HSR.

Since February 2011, the D4 SBP has been providing advocacy through the Construction Project Tracking Pilot Program. 15 projects are currently being tracked. Newly added in 2014 is \$6.7M contract #04-OJ7804 with Honeywell Building Solutions for the replacement of the Fire Life Safety System at the District Office. The SBP team will continue to focus on the issues that influence primes to not utilize some subcontractors (subs), as well as promoting better communication between subs and primes.

In 2014, District 4 exceeded SBE, DVBE, and DBE participation targets for A&E contracts and District Director's Orders.

In 2015, SBP team looks forward to continuing to build new partnerships and supporting SBEs, DVBEs and DBEs in doing business with Caltrans. The following report should give readers a better picture of the SBP team's achievements and efforts to engage and involve all of our partners, both internal and external.

SMALL BUSINESS COMMUNITY OUTREACH

BUSINESS MATCHMAKING – PROCUREMENT EVENT



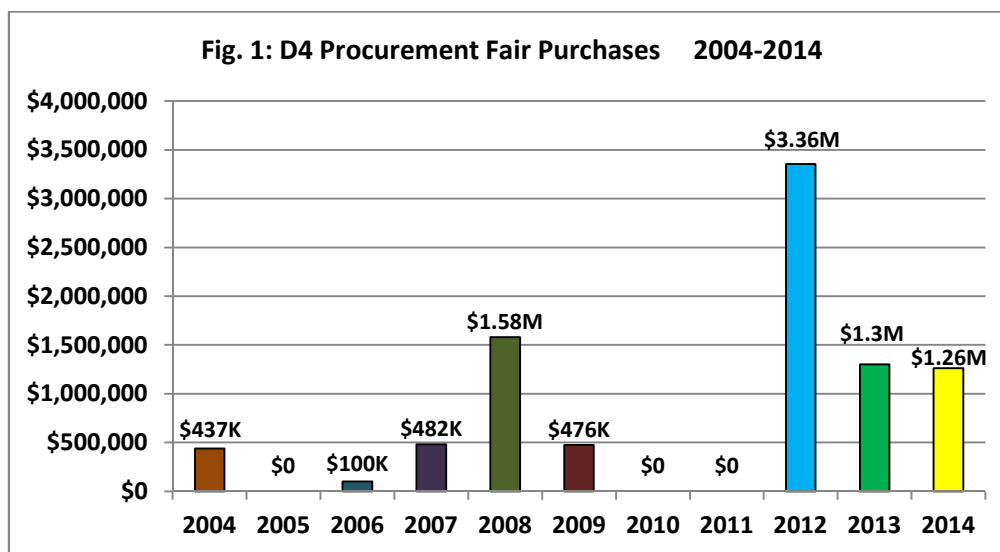
On February 20, 2014, D4's SBP team attended this year's Business Matchmaking (BMM) procurement event held at the Oakland Marriott Hotel. BMM is a not-for-profit public private initiative started by a partnership between the State Small Business Advocate (SBA) and Hewlett Packard (HP) to provide face-to-face procurement opportunities for the small business community with various government, private, and public works agencies. The keynote speakers were its founder Chuck Ashman and former State Small Business Advocate, Marty Keller. D4 Small Business Liaison, Ms. Harris, represented the district in the face-to-face procurement interviews. She assessed the scope of products and services the participants offered and provided them with referrals to the appropriate Caltrans buyers. There were more than 400 attendees, and the event was well-received.

DISTRICT 4 - BUSINESS PROCUREMENT FAIR



The District hosted two Business Procurement Fairs in 2014, one in February and the other in October. The former was held at the Caltrans Oakland Office, while the latter was at the Jack London Aquatic Center in Oakland. It

was the first time that the unit had hosted the Procurement Fair at the District Office building. The events were well-received and new relationships were established. There were many successful purchases and contracts



processed at the fairs. Over 2000 small business vendors and service contractors were invited to each Fair to meet the Caltrans buyers, resulting in over 50 vendors at each fair. The majority of the attendees were from various local businesses. Many vendors expressed appreciation for the opportunity to meet and speak with the buyers and to provide competitive pricing and free product samples. The 2014 Procurement Fairs generated approximately \$1,260,827 in purchases. Successfully, most of the purchases were from local small businesses (See Fig. 1). The District will continue its efforts to increase small business opportunities and contracting and has planned the next Procurement Fair for March 2015.

PENDERGAST CONSULTING GROUP - INTERSTATE 80 WESTBOUND PROJECT COMMENCEMENT CEREMONY



On March 7, 2014 the SBP team represented the District at the Commencement Ceremony for Interstate 80/Yerba Buena Island West Bound Ramps Project. The event was hosted by Pendergast Consulting Group at Yerba Buena Treasure Island. Some of the guest speakers were D4 Director Bijan Sartipi; Tilly Chang, Executive Director of San Francisco County Transportation Authority (SFCTA); John Avalos, San Francisco Supervisor; Jane Kim, San Francisco Commissioner; Eric Cordoba, SFCTA Project Manager; Linda Fedeke Richardson, President of the Treasure Island Development Authority; and Clifton Burch of Empire Engineering. Mr. Burch was one of the keynote speakers who provided a testimony of success. He discussed his strategies and success in marketing to government and the dedication of District 4 and Pendergast Consulting Group to supporting and promoting Small Business opportunities. There were over 70 attendees from various organizations, businesses, and agencies.

CPM LOGISTICS & FLATIRON - PRESIDIO PARKWAY II OUTREACH



On March 14, 2014, George Crosby, SBP Manager, represented the SBP team at the Presidio Parkway II Outreach Meeting. Adam Matthews of Flatiron and Abigail Brown of CPM Logistics hosted the event. It was held at Presidio Parkway in San Francisco. The purpose of the outreach was to provide small business vendors with face-to face opportunity to meet the primes for the project, market themselves, and get an overview of the project. Mr. Crosby was a guest speaker, discussing the role and services that the District 4 SBP provides, as well as discussing the state and federal goals for SBEs, DVBES, and DBEs. The event was well-attended, with 35 vendors present. The uniqueness of this non-mandatory outreach was that it was initiated by Flatiron and CPM Logistics. Most importantly, attendees expressed positive feedback about their experience at the event.

TBSBP - CONSTRUCTABILITY AND INFORMATIONAL WORKSHOP AND NETWORKING



On May 22, 2014, the SBP provided support to the Toll Bridge Small Business Program (TBSBP), led by TBSBP Manager Derek Pool and Pat Padilla of Padilla & Associates. The purpose was to provide a project overview, obtain design feedback, and provide prime and sub networking opportunities. The event was well attended with over 70 companies represented.

THE BLUE BOOK BUILDING & CONSTRUCTION - NETWORKING OUTREACH



On May 29, 2014 the SBP represented the District at the Blue Book Networking Outreach, which was held at the Homestead Studio Suites in San Ramon. Mr. Nesbitt and Ms. Harris maintained an informational booth and provided attendees information about the Small Business Program's role and services, Caltrans contract opportunities, and certification information. The team received very positive feedback from the attendees. The event was well-attended with over 250 participants.

TURNER GROUP CONSTRUCTION - SUBCONTRACTORS NETWORKING OUTREACH



On June 2, 2014, Mr. Nesbitt and Ms. Harris represented the District at the Subcontractors Networking Outreach hosted by Turner Group Construction. The event was held at their Contractors Resource Center (CRC) in Oakland. The purpose of the outreach was to provide small business vendors an opportunity to receive valuable feedback from primes, and other industry professionals for how to market themselves to organizations and government entities. Moreover, participants were given an opportunity to ask questions of the panel members, learn about the no-cost services that the CRC offers, and participate in breakout sessions. The SBP team maintained an informational booth and provided participants information about the SBP's role, services, and Caltrans contract opportunities. The event was well-attended with over 150 companies present. The team received positive feedback and developed relationships not only with small business vendors, but also with agency constituents.

SANTA CLARA VALLEY TRANSPORTATION AUTHORITY - MEET THE PRIMES NETWORKING OUTREACH



On September 7, 2014, Mr. Nesbitt and Ms. Harris represented the District at Santa Clara Valley Transportation Authority's (VTA) Meet the Primes Networking event. The event featured face-to-face networking with prime contractors, various government agencies, and upcoming VTA contract opportunities. Mr. Nesbitt, as one of the guest speakers, discussed upcoming Caltrans opportunities and small business services that the SBP team offers to SB community. In addition, he and Ms. Harris maintained an informational booth during the course of the outreach. There were approximately 150 companies in attendance.

BART –NORTHERN CALIFORNIA TRANSIT AGENCIES VENDOR FAIR



On September 17, 2014, Mr. Nesbitt and Ms. Harris represented the District at BART's Northern California Transit Agencies Vendor Fair in Oakland, California. The purpose of the event was to create networking and procurement opportunities for SB companies. Mr. Nesbitt and Ms. Harris maintained an informational booth and provided participants with information about the SBP services, contract opportunities, and Caltrans procurement processes. The event was well-attended by approximately 150 companies.

BAY AREA BUSINESS ROUNDTABLE (BABRT)- BUSINESS EXPO WORKSHOP



On September 19, 2014, Ms. Harris represented the District at the Business Expo Workshop that was hosted by the Bay Area Business Roundtable in Oakland, California. The event's focus was to create procurement opportunities for local SB, DVBE, and DBE companies. Ms. Harris maintained an informational booth and provided participants with information about the services the SBP provides, Caltrans procurement processes, and buyer contact information. There were approximately 75 companies represented at the workshop.

HOSTED EVENTS

D4 SMALL BUSINESS COUNCIL



District 4 Small Business Council (SBC) is hosted by the SBP team at the District Office every other month. This meeting provides a platform for small business and trade associations to comment and provide valuable feedback related to Caltrans' policies and practices that affect or impact small business utilization in Caltrans contracts and projects. The average attendance in 2014 was 20 participants. The monthly reports provided by each division can be located at <http://www.dot.ca.gov/dist4/smallbusiness/sbc.htm>. The SBP Team notified each respective division of upcoming meetings, related action items, and provided deadlines for the receipt of the respective reports. In addition, they provided meeting reminders and notifications to the external SBC members to ensure that there would be a quorum for each meeting. The SBP team prepared the meeting folders, as well as assisted in answering council member questions or concerns. For example, in April the SBP Team responded to Action Item #1713 regarding whether there would be a mandatory pre-bid outreach for EA #014104 (the SFOBB warehouse project). The unit conducted the research, provided the Council with positive answer that there would be a mandatory pre-bid outreach once funding was cleared and a new date was scheduled. The action item was ultimately satisfied and closed. To date, all previous action items, #s 1512-1913, were closed, as well as those the Council generated for 2014. The SBP team will continue its efforts to promote opportunities for small business and to address the concerns of the community. The SBP team is committed to and appreciative for the collaboration and efforts of the District 4 District Director, Bijan Sartipi, the executive staff, and the Small Business Council. Their valuable experience and feedback are immeasurable resources for fulfilling the team's purpose as small-business advocates.

CALIFORNIA HIGH SPEED RAIL - PUBLIC COMMENT FORUM



On March 12, 2014, District 4 hosted the California High Speed Rail Authority (HSR) Public Comment Forum. Small Business Liaison Mr. Nesbitt provided support at the event. The primary spokesperson and facilitator was Robert Padilla, Small Business Advocate for HSR. The main purpose of the forum was to provide an opportunity for public comment in regards to small business and public concerns related to the \$985M High-Speed Rail Project. There were 17 public participants who attended. All comments were recorded by a licensed recorder. The forum participants were engaged and provided helpful feedback to Mr. Padilla.

PROJECT-SPECIFIC OUTREACH

MANDATORY PRE-BIDS

On January 8th 2014, Caltrans held its first Mandatory Pre-bid of the year at the Pacifica Chamber of Commerce. Project 04-265604 estimated at \$10M will replace the existing San Pedro Bridge. In attendance were 10 primes and 12 subs. The project was awarded to Granite Rock Construction for

\$7.1M. The prime has committed to a 12.1% DBE Goal. It is great to report that one of the DBEs in attendance, Biomaas, Inc., has been listed on the winning bid.

On January 9th 2014, a Mandatory Pre-bid was held at the Santa Clara Valley Transportation Authority (VTA) for project 04-153304. This is the first time that the SBP has held a Mandatory Pre-bid in San Jose. The attendance was higher than expected with 12 primes and 37 subs in attendance. The \$14.4M project is for the installation of TOS equipment, ramp metering and ramp widening in Santa Clara. The project was awarded to Bay Cities Paving and Grading, Inc. for \$10.2M. The prime contractor has committed to a 12.1% DBE Goal.



Primes meet subs at Jan 9th Mandatory Pre-bid

On May 29th 2014, project 04-014104 had a Mandatory Pre-bid at the DGS Building in Oakland. The \$14.9M project is for the second phase of the SFOBB Warehouse. This is a state-funded project with a \$250K DVBE incentive. There were 17 primes and 26 subs in attendance. The project was awarded to Taber Construction, Inc. for \$14.2M. It is great to report that one of the DVBEs in attendance, United Synergy Corporation, has been listed on the winning bid.

On Sept 16th 2014, project 3G4434 had a Mandatory Pre-bid at the DGS Building in Oakland. The project listed at \$1.03M is for the replacement of grating shields and drainpipes on the West Span of the SFOBB Bridge. The project is state-funded, and it has a 3% DVBE Goal. There were 8 primes and 4 subs in attendance. The project was awarded to Golden State Bridge, Inc. for \$1.3M. The prime has committed to a 6.89% DVBE participation Goal

OUTREACH EVENTS

On April 24th 2014, the SBP held a Small Business Outreach for primes, subs, small businesses and DVBEs. The event was held at the Elihu Harris State Building in Oakland. There were approximately 35



Presentation by Merriwether & Williams

subs in attendance. Caltrans presented the upcoming Architectural and Engineering Contracts as well as a look ahead for over 37 construction projects valued approximately at \$340M. In addition to Caltrans, there were three special guests. Merriwether and Williams Insurance Services presented information about bonding capabilities. Also, Turner Group Construction introduced their Contractors Resource Center (CRC), which is a one stop shop for subs and general contractors. The CRC offers complimentary training, affordable office space and a plan room for local projects. The Alameda Small Business

Development Center also made a presentation about their complimentary services and training they offer to SBE/DVBE and DBEs.

On August 15th 2014, a second Small Business Outreach was held at the Elihu Harris State Building in Oakland. Approximately 26 subs were in attendance. Over 36 construction projects totaling \$173M were presented by Caltrans project engineers. The California HSP provided listeners with an overview of the high speed rail project, such as their aggressive small business participation program and opportunities. Turner Group Construction was also present and focused on their Small Business Resource Center.

ADVOCACY

Since February 2011, the D4 Small Business Program has been providing advocacy through the Construction Project Tracking Pilot Program. This program monitors Small Business Enterprise (SBE), Disabled Veteran Business Enterprise (DVBE), and Disadvantaged Business Enterprise (DBE) participation as listed on Caltrans construction projects. The Construction Project Tracking Pilot Program was created in response to complaints by subs who attended SBP events and were not being utilized by the primes. Furthermore, subs listed on winning contracts have not always been given the opportunity by primes to perform the work for which they were contracted. Tracking activity consists of maintaining a record for all activity that happens during the duration of each contract; sending letters to the prime and listed subs containing project specifics and contact information for all parties involved, including the SBP Team; attending meetings for a face-to-face introduction to the Caltrans resident engineer (R.E.) and the prime's project manager (PM), explaining the Pilot Program and finding out how the SBP can be of assistance in helping primes meet their SBE/DVBE/DBE contracted goals; and calling all subs listed in the contract. These calls help to verify that the subs are working on all listed bid items as well as for the dollar amounts for which they were subcontracted. Below are notes on activity for the 15 projects currently being tracked. Newly added in 2014 is \$6.7M contract #04-0J7804 with Honeywell Building Solutions for the replacement of the fire life system at the District Office in Oakland.

04-1G9404: Amount: \$52M. Prime: Bay Cities Paving and CC Myers (JV). DVBE Commitment: 2.1%. *Project Description:* The project is for the widening of Highway 4 in Antioch and construction of retaining and sound walls. *Start Date:* 8/28/12. *Est. Completion Date:* 9/30/15. *DVBE Utilization:* 2 out of 4. *SBE Utilization:* None. *Additional Listed SBE/DVBE:* NorCal Masonry. **Tracking Activity:** Mr. Nesbitt received regular reports that included 3-week schedules of upcoming work for subs. He has attended 2 meetings and remained in communication with the R.E. and subs during the year. Most recently, Mr. Nesbitt attended the meeting to inquire about the status of the remaining DVBEs who have not yet worked on the project. **Result:** The prime and R.E. promised to look into the schedule to determine when the remaining DVBEs will be utilized. A follow-up response is pending.

04-014084: Amount: \$33.6M. Prime: F&H Const. DVBE Commitment: 0.904%. *Project Description:* The project is for the construction of a new San Francisco Oakland Bay Bridge (SFOBB) maintenance

building. *Start Date:* 4/26/13. *Est. Completion Date:* 9/11/14. *DVBE Utilization:* 2 out of 3. *SBE Utilization:* 15 out of 18. *Additional Listed SBE:* Culvert Install Doors (\$43,182.00). **Tracking Activity:** Ms. Harris has attended two of the weekly owner's meetings. Ms. Harris has also been working with the Labor Compliance Officer to ensure that all subs listed are utilized. **Result:** The prime has utilized 2 out of the 3 listed DVBEs and 15 out of 18 listed SBEs. In addition, a new SBE has been added to the project, Culvert Install Doors.

04-2640L4: *Amount:* \$12.4M. *Prime:* Ghilotti Bros. and R. M. Harris (JV). *DVBE Commitment:* 0.81%. *Project Description:* The project will replace the Petaluma River Bridge. *Start Date:* 2/14/13. *Est. Completion Date:* 11/17/14. *DVBE Utilization:* 3 out of 3. *SBE Utilization:* 4 out of 5. *Additional Listed SBE/DVBE:* None. **Tracking Activity:** Mr. Nesbitt attended the weekly owner's meeting and corresponded with the R. E. and subs. Recently, he consulted with the R.E. about the participation status of one of the listed Good Faith Effort DVBEs, All Counties Trucking. Nesbitt also inquired about SBE sub R.E. Serrano's participation status. **Result:** Three of the 3 listed DVBEs have been utilized, while 4 of 5 listed SBEs have worked on the contract. The remaining SBE was R.E. Serrano who voluntarily withdrew from the contract because the company was going out of business. The contract has been completed and accepted. The DVBE total commitment of \$98,732 was achieved and exceeded at \$118,580.61. Because of Mr. Nesbitt's advocacy, All Counties Trucking was eventually utilized.

04-2640U4: *Amount:* \$66M. *Prime:* Ghilotti Bros, Inc and RM Harris, Inc. (JV). *DVBE Commitment:* 0.02%. *Total Subcontracting Commitment:* 2.7%. *Project Description:* This project will replace the hot mix asphalt (HMA) on the San Rafael Bridge. *Start Date:* 3/7/13. *Est. Completion Date:* 12/30/15. *DVBE Utilization:* 0 out of 1. *SBE Utilization:* 4 out of 6. *Additional Listed SBE/DVBE:* None. **Tracking Activity:** Periodically, in 2014 Mr. Nesbitt communicated with the R.E. and subs to track sub participation. Mr. Nesbitt informed the R.E. as well as Labor Compliance that the listed DVBE had not been utilized as of November 2014. The project is scheduled for completion this year (2015). **Result:** The R.E. is researching the DVBE's participation status and will contact the prime to ensure compliance. Four of the 6 SBEs have been used on this project.

04-264144: *Amount:* \$38M. *Prime:* Ghilotti Const. *DBE Commitment:* 6.1%. *Project Description:* The project is for the construction of two additional lanes on Hwy 12 in Napa. *Start Date:* 1/26/12. *Est. Completion Date:* 9/5/14. *DBE Utilization:* 4 out of 4. *SBE Utilization:* 7 out of 7. *Additional Listed SBE:* Sunquest General Eng. (\$234,891.73). **Tracking Activity:** Ms. Harris has been working with the R.E. throughout the duration of the project. The construction of the project has been completed: only the landscaping portion remains. **Result:** Encouragingly, all SBEs and DBEs listed have been utilized. The prime has surpassed the DBE Goal and added a new SBE, Sunquest, to the project. The project has been completed, but it remains opened until Caltrans accepts it. The total dollars paid to date to UDBEs is \$2,230,699.13, which is an increase of over \$68K to the initial UDBE goal.

04-2908C4: *Amount:* \$53M. *Prime:* Ghilotti Const. *DBE Commitment:* 14%. *Start Date:* 4/15/13. *Est. Completion Date:* 12/24/14. *DBE Utilization:* 1 out of 1. *SBE Utilization:* 4 out of 7. *Additional Listed SBE/DBE:* None. *Project Description:* This project is one of three (2904E4 and 2908V4) that will widen and rehabilitate Hwy 580 in Alameda County. **Tracking Activity:** Ms. Harris has been working with the R.E. and the Labor Compliance Officer of this project. In October, DBE R.E. Serrano, asked to be relieved from the contract because they were going out of business. Ms. Harris attempted to find a DBE replacement by emailing comparable subs. There were no responses to Ms. Harris' emails or to the Good Faith Efforts made by Ghilotti. Labor Compliance accepted the substitution with a non-DBE, Vanguard Construction. **Result:** R.E. Serrano completed only a portion of the contracted amount, while 4 out of the 7 listed SBEs have been utilized. Ms. Harris recommended the prime attempt to meet the goal by subcontracting any change orders. More information on the DBE utilization is forthcoming.

04-2908E4: *Amount:* \$38.5M. *Prime:* DeSilva Gates. *DBE Commitment:* 10.52%. The project is for the roadway and rehabilitation of Hwy 580 in Alameda County. *Start Date:* 3/18/13. *Est. Completion Date:* 2/25/15. *DBE Utilization:* 1 out of 3. *SBE Utilization:* 10 out of 13. *Additional Listed SBEs:* AC Curb & Dike (\$10,517), All Steel Fence (\$106,194), Bortolussi & Watkins (\$60,600), Dekay Demolition (\$41,090), and Farwest Safety (\$102,750). **Tracking Activity:** Ms. Harris has been in contact with the R.E., and the weekly schedules have been provided. The schedule provides a look ahead of when the subs will be at the jobsite. After attending a weekly meeting in November, Ms. Harris learned that R.E. Serrano had to be substituted. Ms. Harris and the Labor Compliance Officer worked closely trying to find a comparable substitute. After contacting via email the comparable DBEs, only one responded with a phone call. Ms. Harris provided the contact information of DBE Kern County Custom Concrete to the R.E. and the prime. **Result:** R.E. Serrano completed \$3.67M of the committed \$3.93M. A DBE substitution is in process. While 10 out of the 13 listed SBEs have been utilized, DeSilva Gates has added 5 new SBEs to the project. Ms. Harris will continue to work with the R.E. and the Labor Compliance Officer on the DBE substitution to ensure that all listed SBEs and DBEs are utilized.

04-2908V4: *Amount:* \$27.6M. *Prime:* O.C. Jones and Sons, Inc. *SBE Commitment:* 7.7%. *DVBE Commitment:* 1%. *Project Description:* The project is for the rehabilitation of Hwy 580 in Alameda County. *Start Date:* 4/21/13. *Est. Completion Date:* 1/16/15. *DVBE Utilization:* 0 out of 3. *SBE Utilization:* 2 out of 9. *Additional Listed SBEs:* Gerco Contractors (\$432,015) and Drill Tech (\$654,738). **Tracking Activity:** Ms. Harris has been in communication with the R.E. and has been receiving the weekly schedules. Ms. Harris has attended one weekly owner's meeting. **Result:** None of the listed DVBEs have been utilized, and there have been no legal substitutions. Only 2 out of the 9 listed SBEs have been utilized. On the other hand, 2 additional SBEs have been added to the project. A visit to the weekly owner's meeting is pending.

04-294914: *Amount:* \$214M. *Prime:* Tutor-Saliba. *UDBE Commitment:* 2.76%. *Start Date:* 1/13/10. *Est. Completion Date:* 11/24/14. *UDBE Utilization:* 12 out of 15. *Additional Listed SBE/UDBE:* None. *Project Description:* The project is for the construction of a 4th tunnel and building on Hwy 24 in Alameda

County. **Tracking Activity:** Ms. Harris has been in constant communication with the R.E. as there are some problems with the listed UDBEs. The project is in the final stages, and three of the UDBEs listed have not been utilized. The R.E. has sent multiple letters to Tutor-Saliba urging the company to fulfill its commitment, and there has been no response from the prime. **Result:** 12 out of the 15 listed UDBEs have been utilized. Ms. Harris is waiting for a response from Tutor-Saliba.

04-3A23U4: Amount: \$28.7M. Prime: Ghilotti Construction Co. DVBE Commitment: 1.8%. Start Date: 12/24/12. Est. Completion Date: 10/30/14. DVBE Utilization: 3 out of 3. SBE Utilization: 5 out of 5. Additional Listed SBE/DVBE: None. Project Description: The project is for the construction of four sound walls on Rte 101 in Sonoma County. **Tracking Activity:** Mr. Nesbitt has communicated with the R.E. and subs throughout the project. He provided SBP assistance and services as needed. **Result:** The contract process and SBP/R.E. collaboration efforts were successful, and all listed DVBEs and SBEs were used on this contract with no substitutions. The project was completed and is awaiting acceptance.

04-3A7764: Amount: \$5.9M. Prime: Taber Const., Inc. DVBE Commitment: 0. Project Description: The project is to widen the ramps and install ramp metering systems on Alameda 80. Start Date: 12/20/12. Est. Completion Date: 11/15/14. DVBE Utilization: None. SBE Utilization: 4 out of 4. Additional Listed SBEs: Hillside Drilling Co. (\$177,395) and Precision Directional Boring (\$32,120). **Tracking Activity:** Ms. Harris attended several weekly owner's meetings and contacted all subs listed. Although this project had no committed goals, the prime still listed 4 SBEs. Ms. Harris worked with the R.E. to ensure that all SBEs/DVBEs working on the project are accounted for. **Result:** The project has been completed and accepted. All listed SBEs were utilized, and 2 additional SBEs were added to the project. It is also important to note that one of the utilized subs attended the Mandatory Pre-bid. No DVBEs were utilized, but the SBE utilization accounts for over 20% of the project amount.

04-3A7774: Amount: \$20.4M. Prime: Peterson-Chase General Engineering Const., Inc. DVBE Commitment: 1.88%. SBE Commitment: 7.8%. Project Description: The project is for the installation of overhead signs on Alameda 80. Start Date: 11/6/12. Est. Completion Date: 1/9/15. DVBE Utilization: 1 out of 1. SBE Utilization: 4 out of 4. Additional Listed SBEs: Tennyson Electric (\$3,679,318). **Tracking Activity:** Ms. Harris attended multiple weekly owner's meetings after finding many discrepancies with the bid amounts the prime listed and those reported by the listed SBEs. Phone calls were made to all subs to verify the information on the contract. It turns out that the prime had inflated all subcontracted bid amounts as a cost of doing business with the subs. **Result:** Labor Compliance became involved, and Ms. Harris requested that the prime revise the bid amounts to match the actual contracted amounts. The prime obliged and submitted a revised Subcontracting Request. All SBEs and DVBEs were utilized, and an additional SBE was added to the contract. The prime exceeded its SBE commitment. Final numbers are forthcoming once the project is accepted.

04-3A9214: Amount: \$39.3M. Prime: RGW Construction. SBE Commitment: 0.004%. DVBE Commitment: 0.09%. Project Description: The project will widen the freeway and replace an

overcrossing on Alameda 880 in San Leandro. *Start Date:* 10/17/12. *Est. Completion Date:* 7/14/15. *DVBE Utilization:* 1 out of 1. *SBE Utilization:* 6 out of 8. *Additional Listed SBE/DVBE:* None. **Tracking Activity:** Mr. Nesbitt received weekly reports that included the project schedules. He has attended 3 meetings, most recently to inquire about the participation status of the listed DVBE, Global Environmental Network, Inc. (GENI) and the remaining SBEs, Municon Consultants and R.E. Serrano. **Result:** The R.E. confirmed that GENI (DVBE) and Municon (SBE) have been utilized. Because of the type of service the vendors provide, a certified payroll statement is not required or sent to Labor Compliance. GENI has worked on the project regularly with payments totaling \$35,810 as of November 20, 2014. Municon's payments status was not available at the time of this report. As for R.E. Serrano, the company has gone out of business and a substitution is pending. Hence, the clarification of Municon's status brings the SBE participation to 7 of 8 until R.E. Serrano is substituted, which would increase it to 8 of 8.

04-3A9224: *Amount:* \$20.8M. *Prime:* RGW Construction. *DVBE Commitment:* 0.09%. *Project Description:* This is the "sister project" to 04-3A9214. It will separate the overcrossing on Hegenberger Road in Alameda County. *Start Date:* 1/28/13. *Est. Completion Date:* 9/21/15. *DVBE Utilization:* 0 out of 1. *SBE Utilization:* 5 out of 6. *Additional Listed SBE/DVBE:* Pending approved substitution. **Tracking Activity:** Mr. Nesbitt has attended 2 meetings. He also corresponded with the R.E. and subs to ensure utilization. **Result:** Five of 6 SBEs have worked on the project, and the remaining SBE participation is pending R.E. Serrano's substitution approval after the company went out of business. As for the non-utilized DVBE work, the response from the R.E. is forthcoming. The R.E. confirmed SBE Municon was utilized. Because of the type of service the vendor provides, a certified payroll statement is not required or sent to Labor Compliance.

04-J7804: *Amount:* \$6.67M. *Prime:* Honeywell Building Solutions. *DVBE commitment:* 5%. *SBE Commitment:* 25%. *Project Description:* This project is for the replacement of the fire life system at the District Office in Oakland. *Start Date:* 12/12/13. *Est. Completion Date:* 3/18/15. *DVBE Utilization:* 1 out of 1. *SBE Utilization:* 3 out of 3. *Additional SBE/DVBE:* None. **Tracking Activity:** Mr. Nesbitt attended the weekly owner's meetings, provided SBP support, and vendor contacts. **Result:** As of December 2014, the contractor had exceeded the 25% SBE goal at 43% and climbing. In addition, the contractor had achieved half the firm's DVBE goal of 3% at 1.5%.

SBE, DBE & DVBE ACHIEVEMENT

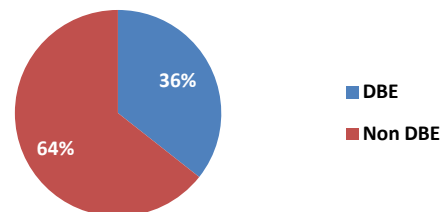
Below are the figures for SBE, DVBE, and DBE participation on Construction, Architectural & Engineering (A&E), and Maintenance contracts in District 4 during the calendar year 2014. District 4 met and exceeded SBE, DVBE, & DBE participation targets on A&E contracts and District Director's Orders. The Small Business Program Team is proud of its role in working with District 4's contract managers, primes, consultants, and Caltrans staff to increase small business participation.

A&E - FEDERAL CONTRACTS

On federally funded A&E contracts during calendar year 2014, DBE achievement was 36% (see Fig. 2).

This achievement exceeds participation targets.

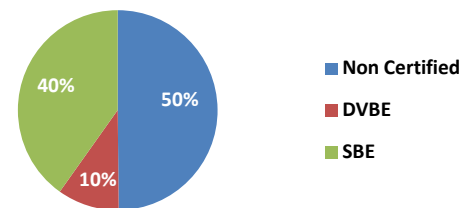
**Fig. 2: A&E Federally Funded Contracts
Jan - Dec 2014 Total Payment \$51M**



A&E - NON-FEDERALLY FUNDED CONTRACTS

40% of non-federally funded A&E contracts were awarded to SBEs and 10% to DVBEs during calendar year 2014 (see Fig. 3). This achievement exceeds participation targets.

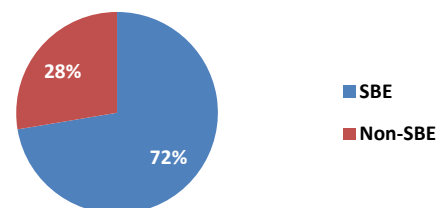
**Fig 3: A&E Non Federally Funded Contracts
Jan - Dec 2014 Total Payment: \$74M**



MAINTENANCE – DISTRICT DIRECTOR’S ORDERS

72% of District Director’s Orders were awarded to SBEs in calendar year 2014 (see Fig. 4). This achievement exceeds participation targets.

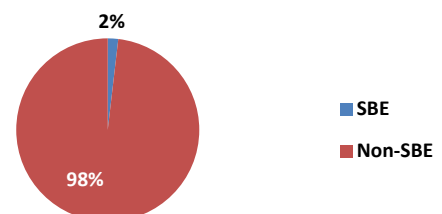
**Fig. 4: Maint. District Director's Orders
Jan - Dec 2014 Total: \$3.05M**



CONSTRUCTION – STATE CONTRACTS WITH SBE PRIMES (TOTAL \$)

2% of state-funded construction contracts had SBE primes in calendar year 2014 (see Fig. 5). This figure does not include contracts with SBE subs.

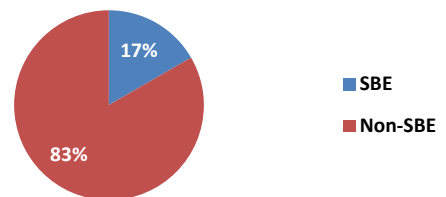
**Fig.5: Construction - State Contracts
SBE Primes (Total \$)
Jan - Dec 2014 Total: \$84.5M**



CONSTRUCTION – STATE CONTRACTS WITH SBE PRIMES (TOTAL #)

4 of 24 --- or 17%---of state-funded construction contracts were awarded to SBE primes in calendar year 2014 (see Fig. 6). This figure does not include contracts with SBE subs.

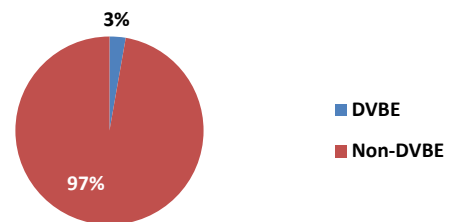
**Fig. 6: Construction - State Contracts
SBE Primes (Total #)**
Jan - Dec 2014 Total: 24 Projects



CONSTRUCTION – STATE CONTRACTS (DVBE\$)

3% of state-funded construction contracts had DVBE subs in calendar year 2014 (see Fig. 7).

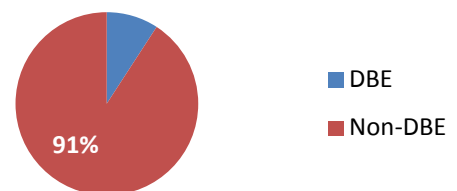
**Fig.7: Construction - State Contracts
DVBE Subs (Total \$)**
Jan - Dec 2014 Total: \$84.5M



CONSTRUCTION – FEDERAL CONTRACTS (DBE\$)

DBE achievement on federally-funded construction contracts was 9% in calendar year 2014 (see Fig. 8).

**Fig. 8: Construction - Federal Contracts
DBE (\$)**
Jan - Dec 2014 Total: \$284M



This concludes the District 4 Small Business Program 2014 Annual Report. Please contact Small Business Manager George Crosby at (510) 286-7030 or george.crosby@dot.ca.gov with any questions or to obtain additional information. Thank you for your interest in the D4 Small Business Program.

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